

THE UNITED STATES PATENT AND TRADEMARK OFFICE BEFORE THE TRADEMARK AND APPEAL BOARD

HE MATTER OF TRADEMARK REGISTRATION NO. 2,372,585 Registered August 1, 2000

BOYDS COLLECTION, LTD., Petitioner,)	Cancellation No. 32,146
v.)))	Mark: TBC HERRINGTON'S TEDDY BEAR CLUB & Design
HERRINGTON & COMPANY, INC., Registrant.)	Registration No.: 2,372,585
Negisti ant.)	Registration Date: August 1, 2000

REGISTRANT'S MOTION TO STRIKE AND OBJECTIONS TO PETITIONER'S NOTICE OF RELIANCE AND EVIDENCE DECLARATION OF KELLY AUSHERMAN

Pursuant to TBMP §§ 533 and 718.02(b) and (c), Registrant HERRINGTON & COMPANY, INC. (hereinafter "Registrant") hereby moves to strike and objects to the Notice of Reliance filed by petitioner BOYDS COLLECTION, LTD. (hereinafter "Petitioner") on April 22, 2002, in the above referenced cancellation action (the "Notice of Reliance"); and pursuant to TBMP §§ 534.02 and 718.03(b) and (c), Registrant hereby moves to strike and objects to the "Evidence Declaration" of Ms. Kelly Ausherman noticed in the Notice of Reliance.

I. INTRODUCTION

On July 31, 2002, Registrant filed a Motion for Judgment against Petitioner for its failure to prosecute the above-captioned action. Petitioner recently filed the Response to Registrant's Motion for Judgment ("Response") claiming that judgment should not be entered against it on the ground that it did file a Notice of Reliance before the close of its testimony period. The Response was filed on August 20, 2002. It is undisputed in the Response that Petitioner failed to conduct any discovery in this case, failed to take any testimony in this case and that the only document filed during the Petitioner's testimony period was the Notice of Reliance purportedly filed (but not served) on April 22, 2002—the closing day of the Petitioner's testimony period.

The Response was filed on August 20, 2002 and received by Registrant on August 21, 2002. This was the first time that Registrant was made aware that the Notice of Reliance had

been filed in this case. McArthur Decl.¶ 2. Petitioner failed to serve a copy of the Notice of Reliance on Registrant, as required by TBMP § 113, when it allegedly filed the Notice of Reliance with the Board on April 22, 2002. Petitioner does not dispute it failed to serve the Notice of Reliance on Registrant when it was filed or any time during its testimony period.

Now, some four months later and long after Registrant's testimony period has closed, Petitioner decided to inform Registrant of this fact—a fact that would have substantially affected and changed Registrant's action in this case and/or its introduction of evidence during Registrant's testimony period. McArthur Decl.¶4. The failure to comply with service requirements is, thus, not merely a procedural defect, but has prejudiced Registrant in this action.

The form Notice of Reliance is readily deficient. Not only does the Notice of Reliance fail to comply with the procedural requirements of the Trademark Rules, but the documents upon which Petitioner is giving notice of its reliance are inadmissible under the Federal Rules of Evidence and TBMP § 700 et seq. Petitioner seeks to cure one of the procedural defects in its Notice of Reliance by apologizing to the Board (though the prejudice flows to Registrant) for its "oversight" in not serving Registrant with a copy of the Notice of Reliance as required by TBMP § 113. However, as to the other procedural and substantive defects in the Notice of Reliance and the "Evidence Declaration" of Kelly Ausherman, Petitioner fails to explain or offer any justification for those defects.

Registrant filed a reply to Response on September 9, 2002, that sets forth why Registrant's Motion for Judgment is still proper and should be granted by the Board. Petitioner's Notice of Reliance fails as a matter of law because Petitioner has failed to take any discovery or testimony and failed to offer any *admissible* evidence in this case. In the instant Motion, Registrant sets forth its objections to the Notice of Reliance and the documents it is attempting to offer into evidence and requests that the Board strike the Notice of Reliance in whole based on those deficiencies.

II. <u>DEFICIENCIES IN THE NOTICE OF RELIANCE</u>

Petitioner states in the Response that "[t]he Notice of Reliance satisfied all the formalities of 37 C.F.R. § 1.10." Although Registrant is relieved that Petitioner managed to

satisfy the requirements for mailing a document to the TTAB by Express Mail, Petitioner has failed to comply with any of the requirements for submitting evidence under 37 C.F.R. § 2.120 or 37 C.F.R. § 2.122 – the sections of the Code of Federal Regulations governing notices of reliance in discovery matters and matters of evidence, respectively.

The testimony period for petitioner is the period that petitioner puts on its case, also called the trial period. TBMP §§ 701 and 702. In this instance, Petitioner has "put on its case" by attempting to rely on one so-called "Evidence Declaration" of an employee of Petitioner Ms. Kelly S. Ausherman (the "Ausherman Declaration") and Exhibits B through L attached thereto.¹

A. Procedural Deficiencies.

1. The Ausherman Declaration is Not a Discovery Document.

Documents offered into evidence by filing a notice of reliance are certain specified types of evidence obtained from discovery. 37 C.F.R. § 2.120(j) and TBMP § 718.02. That is, 37 C.F.R. § 2.120(j) allows for the introduction into evidence, by notice of reliance, of (1) discovery depositions, (2) answers to interrogatories, (3) answers to requests for admission, and (4) certain produced documents under 37 C.F.R. § 1.122(e) (i.e., printed publications and official records). The Ausherman Declaration is not any fruit of discovery as the Response admits "no discovery was conducted [by Petitioner] in this matter." See Response, page 1, ¶ 2, in Exhibit A to McArthur Decl.

Additionally, Petitioner has cited to no rule or authority for the introduction of its so-called "Evidence Declaration," i.e., the Ausherman Declaration. Nevertheless, it is obvious from reviewing the Notice of Reliance that Petitioner fails to comply with the procedural requirements of any of the applicable rules under which such evidence could be submitted. The Ausherman Declaration fails to be and is admittedly not a discovery deposition. Thus, under 37 C.F.R. 2.120(j), a Notice of Reliance cannot be used by Petitioner to introduce the Ausherman Declaration into evidence. Accordingly, because this defect is not curable by Petitioner, Registrant hereby moves to strike the Notice of Reliance as a whole under TBMP

¹ Registrant notes that the Ausherman Declaration makes no reference to and does not attach an Exhibit A. It is unknown where Ms. Ausherman's Exhibit A is located as 37 CFR 1.123(g)(2) requires that all Exhibits filed with the Board be consecutively numbered.

§ 718.02(b).

Registrant acknowledges that under the TBMP § 716, the parties may, with the Board's approval, stipulate for the admission of specified matter into evidence, including that the testimony of a witness be allowed in the form of an affidavit by the witness. TBMP § 716 and 37 C.F.R. § 2.123(a)(2). However, this declaration of Ms. Ausherman was never noticed or brought to the attention of Registrant, never served upon Registrant and, least of all, was never stipulated to by Registrant or approved by the Board. McArthur Decl.¶ 5. Thus, Registrant hereby moves to strike the Notice of Reliance as a whole on the ground that is fails to comply with the procedural requirements of the rule under which it was submitted.

Furthermore, assuming in the alternative that the Ausherman Declaration is a testimony deposition of Petitioner's witness, the Notice of Reliance is still procedural deficient. Every testimony deposition taken must be filed, and when filed, becomes part of the record; a notice of reliance thereon is not necessary. 37 C.F.R. § 2.123 and TBMP §§ 713.12 and 404.02. Thus, under 37 C.F.R. § 2.123, a Notice of Reliance cannot be used by Petitioner to introduce the Ausherman Declaration into evidence. Accordingly, because this defect is not curable by Petitioner, Registrant hereby moves to strike the Notice of Reliance as a whole under TBMP § 718.02(b), as it fails to comply with the procedural requirements of the rule under which it was submitted.

2. Petitioner Failed to Serve a Copy of the Notice of Reliance on Registrant.

As mentioned above, Petitioner failed to serve a copy of the Notice of Reliance on Registrant, when it allegedly filed it with the Board as required by TBMP § 113. Therefore, Registrant was never given the proper opportunity to respond and object or request to strike the Notice of Reliance until now and after its own testimony period has closed. Petitioner's tardiness is not excusable as it is prejudicial to Registrant. The burden of Petitioner's error must not be foisted upon Registrant. Accordingly, Registrant moves the Board to strike the Notice of Reliance in its entirety.

B. Substantive Deficiencies.

Registrant hereby objects to the Notice of Reliance on the substantive grounds that the Ausherman Declaration and the documentary evidence attached thereto are procedurally deficient and inadmissible under the Federal Rules of Evidence. Evidence not obtained and

filed in compliance with the Code of Federal Regulations will <u>not</u> be considered. 37 C.F.R. §§ 2.121(j)(8) and 2.123(l). The Ausherman Declaration was not filed in compliance with the Code of Federal Regulations or the Trademark Rules.

1. The Ausherman Declaration.

Assuming (for lack of any more appropriate alternative) that the Ausherman Declaration is submitted as a discovery or testimony deposition, it is incompetent and procedurally defective. Accordingly, Registrant moves to strike and objects to the Ausherman Declaration in its entirety under TBMP §§ 534.02 and 718.03(b) and (c).

a. No Notice of Deposition.

Registrant objects to the Ausherman Declaration on the ground that Petitioner failed to provide notice of the deposition of any kind or form to Registrant as required by TBMP § 713.05 and 37 C.F.R. § 2.123(c).

Accordingly, pursuant to TBMP § 534.02, Registrant requests that the Board strike the entire Ausherman Declaration on the ground that Petitioner failed to give proper notice to Registrant of the examination of the witness. Before the deposition of a witness shall be taken by a party, due notice in writing shall be given to the opposing party of, among other things, the name of the witness, and the time when and place where the deposition will be taken. 37 C.F.R. § 2.123(c). Petitioner failed to give any notice to Registrant of the "deposition" (by way of declaration) of Ms. Ausherman. McArthur Decl.¶ 5. As a result, Petitioner failed to give Registrant any opportunity to cross-examine the witness as required by TBMP § 713.08 and 37 C.F.R. § 2.123(e)(3).

b. Not in Proper Deposition Format.

The Ausherman Declaration is not in an answer-question format as required by TBMP § 713.08, 37 C.F.R. § 2.123(e)(2) and FRCP 26(a). Additionally, the Ausherman Declaration fails to comply with the form for depositions under TBMP § 713.09.

c. Ms. Ausherman Was Not Sworn in under the Law.

Before testifying, a witness whose deposition is being taken for use in a Board

proceeding must be duly sworn, according to the law, by the officer before whom the deposition is to be taken. 37 C.F.R. § 2.123(e)(1) and TBMP § 713.08. The Ausherman Declaration fails to show that the witness was appropriately sworn in under the law. Thus, the Ausherman Declaration should not be considered by the Board as evidence as it fails to meet an essential prerequisite. On this separate basis, Registrant requests that the Ausherman Declaration be stricken in whole.

d. Not Taken Before Person Described in FRCP 28.

Deposition in *inter partes* proceedings must be taken before a person described in FRCP 28. 37 C.F.R. § 2.123(d) and TBMP § 713.07. The Ausherman Declaration fails to show that the deposition was "taken before an officer authorized to administer oaths by the laws if the United States or the place where the action is pending." FRCP 28. Thus, the Ausherman Declaration should not be considered by the Board as evidence as it again fails to meet an essential prerequisite. On this separate basis, Registrant requests that the Ausherman Declaration be stricken in whole.

e. Not Served on Registrant.

As discussed above, not only did Petitioner fail to notice the deposition of Ms. Ausherman, but also Petitioner failed to serve a copy of the Ausherman Declaration on Registrant as required by TBMP 113.

Additionally, under 37 C.F.R. 2.125(a), a copy of the testimony together with the documentary exhibits must be served on each adverse party within thirty days after completion of the taking of that testimony. Assuming that this is submitted as a testimony deposition, again Petitioner has failed to serve within 30 days, and in fact failed to ever serve, a copy of the Ausherman Declaration or exhibits taken on April 22, 2002 (until the August 20th service of the response to Registrant's Motion for Judgment, which contained the Notice of Reliance).

f. Taken Outside of Discovery Period.

Assuming that the Ausherman Declaration is submitted as a discovery deposition, it must be stricken as it was taken outside of the discovery period. Discovery depositions must be both noticed and taken prior to the expiration of the discovery period. TBMP § 404.01. The

Ausherman Declaration is dated April 22, 2002. The discovery period in this action closed on January 22, 2002. Petitioner never requested and the parties never stipulated to the deposition being taken outside the period. McArthur Decl.¶ 6.

g. Not Filed with the Board.

Assuming that the Ausherman Declaration is submitted as a testimony deposition, the Ausherman Declaration further fails on the ground that Petitioner failed to file the testimony deposition with the Board. Every testimony deposition taken must be filed with the Board; a notice of reliance thereon is not necessary. 37 C.F.R. § 2.123(h) and TBMP §§ 713.12 and 404.02.

2. Documentary Evidence in Exhibits B - L.

a. Documents Lack Proper Evidentiary Foundation.

The Notice of Reliance is further substantively deficient in that the documentary evidence Petitioner gives notice of is inadmissible under the Federal Rules of Evidence and TBMP § 700 et seq. Petitioner has failed to lay the proper, or any, foundation for these documents. Ms. Ausherman identifies the documents in the exhibits as "printed literature printed by petitioner," however, she fails to reasonably identify the nature of the documents, the dates of such documents or the that the copies attached to the declaration are true and correct copies. In Petitioner's Notice of Reliance, it identifies these documents as "catalogues" and "price sheets" and further identifies the dates of each document. See Exhibit A to McArthur Decl. However, it is unclear where Petitioner received the information that the so-called "literature" was a "catalogue" or "price sheet" and how it determined the dates of each document, as such information is not found in the Ausherman Declaration. Therefore, Registrant objects to the Notice of Reliance as the documentary evidence offered under the notice is not properly identified in the Ausherman Declaration and lacks proper foundation.

b. Exhibits B-L Not Properly Labeled.

Further, 37 CFR § 1.123(g)(2) requires that Exhibits be consecutively numbered and that each Exhibit be marked with the number and title of the case and the name of the party offering the exhibit. Entry and consideration may be refused for improperly marked exhibits. 37 C.F.R. § 1.123(g)(2). Exhibits B through L of the Ausherman Declaration are not

consecutively numbered and fail to comply with even the minimal standard that such exhibits be properly labeled. Registrant hereby requests that the Board refuse to enter and/or consider said Exhibits as they fail to comply with the TTAB's standards.

Therefore, Registrant objects to the Notice of Reliance on the substantive grounds that the documentary evidence offered under the Ausherman Declaration is incompetent and procedurally deficient and the documents in Exhibits B through L lack proper evidentiary foundation and are simply inadmissible. For all of the reasons set forth herein, the Notice of Reliance and the Ausherman Declaration should be stricken.

III. CONCLUSION

Once again the burden has been placed on Registrant to file the necessary and obvious objections to the continuing procedural and substantive defects in Petitioner's papers. Registrant requests that the Board strike the Notice of Reliance in its entirety as it fails to meet the procedural and substantive requirements for such motion filing with the TTAB and said defects are not curable by Petitioner. Not only does the Notice of Reliance contain no discovery documents, but the Ausherman Declaration and documentary evidence attached thereto are inadmissible. Neither the Notice of Reliance nor the Ausherman Declaration was ever served or noticed upon Registrant, thereby failing to give Registrant, as the defendant in this case, the opportunity to respond, cross-examine or take the necessary action to defend its trademark registration. Petitioner's free form approach to evidence is not a mere formality. It has raised real prejudice to Registrant. In light of the foregoing, Registrant requests that the Board strike the Notice of Reliance as a whole, and/or separately, strike the Ausherman Declaration in its entirety.

Dated: September 10, 2002

Respectfully submitted,

HERRINGTON & COMPANY, INC.

 $\mathbf{R}_{\mathbf{v}}$

Elizabeth Clare Moreno McArthur, Esq.

P. Craig Cardon, Esq.

SQUIRE SANDERS & DEMPSEY L.L.P.

1 Maritime Plaza, Suite 300

San Francisco, CA 94111

Tel: (415) 954-0200 Attorneys for Registrant

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE BEFORE THE TRADEMARK AND APPEAL BOARD

IN THE MATTER OF TRADEMARK REGISTRATION NO. 2,372,585 Registered August 1, 2000

BOYDS COLLECTION, LTD.,)	Cancellation No. 32,146
Petitioner,)	
•)	
v.)	Mark: TBC HERRINGTON'S TEDDY
)	BEAR CLUB & Design
HERRINGTON & COMPANY, INC., Registrant.)	Registration No.: 2,372,585
Registrant.)	Registration Date: August 1, 2000

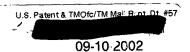
DECLARATION OF ELIZABETH MORENO MCARTHUR IN SUPPORT OF REGISTRANT'S MOTION TO STRIKE PETITIONER'S NOTICE OF RELIANCE AND EVIDENCE DECLARATION OF KELLY AUSHERMAN

- I, Elizabeth Moreno McArthur, declare as follows:
- 1. I am an attorney at law licensed to practice in the state of California, and am counsel of record for Registrant HERRINGTON & COMPANY, INC. in the above-captioned cancellation action. I make the following statements of my own personal knowledge, except where so indicated, and, if required, could competently testify thereto at trial.
- 2. I received Petitioner's Response to Registrant's Motion for Judgment on August 21, 2002. The response document indicates a filing date of August 20, 2002 and contains as an Exhibit Petitioner's Notice of Reliance. The first time I became aware that a notice of reliance had been filed in this case was when I received Petitioner's response on August 21, 2002. A true and correct copy of the Response together with the Notice of Reliance is attached hereto as Exhibit A.
- 3. I never received service from Petitioner of the Notice of Reliance dated April 22, 2002. I was never contacted by Petitioner regarding a Notice of Reliance in this case.
- 4. The fact that Petitioner filed a notice of reliance and took a deposition in this case, would have substantially affected and changed my action in this case and my decision to introduce or not introduce evidence during Registrant's testimony period.
- 5. I never received notice of the deposition or declaration of Ms. Ausherman. Except in Petitioner's Response papers, I never received a copy, by service or otherwise, of the deposition or declaration of Ms. Ausherman. I never consented to the deposition or declaration of Ms. Ausherman nor did I ever consent to the allowance of her deposition in this case by affidavit or otherwise.

- 6. Ms. Ausherman's declaration is dated April 22, 2002. The Petitioner never requested and I never stipulated to the deposition being taken outside the discovery period.
- 7. I never received any notice or service of a testimony deposition by Petitioner in this case.

I declare under penalty of perjury that the foregoing statements are true and correct. Executed this $10^{\rm th}$ day of September, 2002 in San Francisco, California.

Elizabeth Moreno McArthur



NITED STATES PATENT AND TRADEMARK OFFICE LE THE TRADEMARK TRIAL AND APPEAL BOARD

IN THE MATTER OF TRADEMARK REGISTRATION NO. 2,372,585 Registered August 1, 2000

BOYDS COLLECTION, LTD., Petitioner,) Cancellation No. 32,146
v. HERRINGTON & COMPANY, INC., Registrant,)) (Comparison No.: 2,372,585))
CERTIFICATE OF MAILING BY EXPRESS MAIL ET 83 I hereby certify that this correspondence is being deposited with Office to Addressee" Service under 37 C.F.R. 1.10 on August Commissioner for Trademarks, 2900 crystal Drive, Arthugton, Michael J. Cherskov Name of Representative Signature	the United States Postal Service "Express Mail Post 5 t 20, 200 and is addressed to the Assistant

RESPONSE TO REGISTRANT'S MOTION FOR JUDGEMENT

Petitioner, Boyds Collection, Ltd. (hereafter "Petitioner") hereby responds to registrant, Herrington & Company, Inc. (hereafter "Registrant") motion for judgment under 37 C.F.R. § 2.132(a). In response to Registrant, Petitioner states as follows:

SUMMARY OF FACTS

Petitioner filed the instant cancellation on June 26, 2001.

No discovery was requested in this matter.

Closing of Petitioner's testimony period was scheduled for April 22, 2002.

On April 22, 2002, Petitioner filed a Notice of Reliance with the Trademark Trial and Appeal Board. (Attached as Exhibit 1). The Notice of Reliance satisfied all the formalities of 37 C.F.R. § 1.10 and was deposited as Express Mail on April 22, 2002 during Petitioner's Testimony period. As such, Petitioner's Notice of Reliance was timely filed with the Trademark

Trial and Appeal Board.

Petitioner has no record of receiving a Notice of Reliance from Registrant, due June 21, 2002.

On July 31, 2002, Registrant filed its Motion for Judgment. Upon receipt of that Motion on August 5, 2002, Petitioner realized that it failed to serve Registrant with its Notice of Reliance.¹

ARGUMENT

Petitioner regrets its error of not serving opposing counsel with its Notice of Reliance.

The original deadline for Registrant to rebut evidence presented in Petitioner's Notice of Reliance expired August 5, 2002. As such, Petitioner requests that the TTAB provide Registrant with an opportunity to rebut Petitioner's Notice of Reliance, provided herewith as Exhibit 1.

WHEREFORE, Petitioner respectfully requests that the Trademark Trial and Appeal Board deny registrant's Motion for Judgment.

Respectfully submitted,

CHERSKOV & FLAYNIK

Michael J. Cherskov

CHERSKOV & FLAYNIK

The Civic Opera Building

20 N. Wacker Drive

Chicago, IL 60606

(312) 621-1330

Dated: August 20, 2002 Attorneys for the Petitioner

¹The originally assigned attorney for Petitioner in this matter, Mr. Lawrence M. Haws, remains absent from the office since the beginning of August due to a serious illness. Otherwise, Petitioner's Notice of Reliance would have been forwarded to Registrant on August 5, 2002. Petitioner can provide a Declaration to the TTAB from Mr. Haws upon his return.

CERTIFICATE OF SERVICE

I hereby certify that on August 20, 2002, I served a copy of the foregoing Petitioner's Response to Registrant's Motion For Judgment upon Registrant Herrington and Company's counsel of record Elizabeth Moreno McArthur, by mailing a true and correct copy thereof via Express Mail having label No. ET835345998US by the United States Postal Service to the following address:

Elizabeth Moreno McArthur, Esq. SQUIRE SANDERS & DEMPSEY L.L.P. 1 Maritime Plaza, Suite 300 San Francisco, CA 94111

Dated: August 10, 2002

By:

Albert V

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE BEFORE THE TRADEMARK TRIAL AND APPEAL BOARD

BOYDS COLLECTION, LTD.,) Detition For Concellation
Petitioner,) Petition For Cancellation)
V .) Cancellation No: 32,146)
HERRINGTON & COMPANY,) Registration No: 2,372,585
Registrant- Respondent) Date of Issue: August 1, 2000)
CERTIFICATE OF MAILING BY EXPRESS MAIL ET82 hereby certify that this correspondence is being deposite "Express Mail Post Office to Addressee" Service under 3 addressed to the Assistant Commissioner for Trademark 22202-3513. Michael J. Cherskov Name of Representative Signature	ed with the United States Postal Service 37 C.F.R. 1.10 on April 22, 2002 and is

NOTICE OF RELIANCE

Pursuant to 37 CFR Section 2.122(c) BOYDS COLLECTION, LTD., ("Petitioner"), hereby submits to the Trademark Trial and Appeal Board within the time set for Plaintiff's testimony period, the following Exhibits that Petitioner intends to rely upon as evidence in its Main Brief.

Exhibit A Declaration of Petitioner Employee Kelly S. Ausherman

Exhibit B comprises one-page of a 1999 catalog.

Exhibit C comprises a 1990 one-page price sheet.

Exhibit D comprises a 1990 one-page price sheet.

In re: TBC HERRINGTON'S TEDDY BEAR CLUB

Cancellation No: 32,146

Dated: April 22, 2002

Testimony Period

Page -2-

Exhibit E comprises one-page of a 1990 catalog.

Exhibit F comprises one-page of a 1989 catalog.

Exhibit G comprises one-page of a 1999 catalog.

Exhibit H comprises one-page of a 1990 catalog.

Exhibit I comprises one-page of a 1999 catalog.

Exhibit J comprises one-page of a 1999 catalog.

Exhibit K comprises one-page of a 1999 catalog.

Exhibit L comprises one-page of a 1990 catalog.

Respectfully submitted,

CHERSKOV & FLAYNIK

Michael J. Cherskov (PTO Reg. No. 33,664)

CHERSKOV & FLAYNIK

The Civic Opera Building, Suite 1447

20 N. Wacker Drive Chicago, IL 60606 (312) 621-1330

Attorneys for the Petitioner

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE BEFORE THE TRADEMARK TRIAL AND APPEAL BOARD

BOYDS COLLECTION, LTD.)
	Petitioner,	Evidence Declaration
Y .) Cancellation No: 32,146
HERRINGTON & COMPANY,		Registration No: 2,372,585
	Registrant-	Date of Issue: August 1, 2000

OF MAILING BY EXPRESS MAIL ET829639366US (Express Mailing Label No.) I hereby certify that this correspondence is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" Service under 37 C.F.R. 1.10 on April 22, 2002 and is addressed to the Assistant Commissioner for Trademarks. 2000 rystal office. Animaton, Virginia, 22202-3513.

Name of Representative Signature

Date of Signature

DECLARATION

The undersigned, declares as follows:

- 1. My name is Keily S. Ausherman. Lam the Customs Compliance Analyst of The Boyds Collection LTD, (hereinafter TBC) having a principal place of business at 350 South Street, McSnerrystown, PA. I have been employed at TBC since 1996.
- 2. I am familiar with the trademarks and trade names owned by TBC. I coordinate trademark filings and trademark clearance searcnes with TBC's trademark counsel on a daily basis.
- 3. "TBC" is a well-known short hand description of "The Boyds Collection" and is used extensively in the industry and by consumers. For example, "TBC" is used by high-end figurine and plush doll collectors to signify the petitioner.

Cancellation No. 32,146
Testimony Evidence (Ausherman Declaration)
Page -2-

4. "TBC" also is used in petitioner's newsletter, and is used as a designation of source of origin on virtually all other printed literature printed by the petitioner, exemplars of that literature attached hereto as Tabs B-L.

5. "TBC" also is stamped on various resin pieces and plush pieces manufactured and sold by the Petitioner. For example, "TBC" is stamped on Petitioner's snow-globes and on the sewn in labels on the plush.

I hereby declare that all statements made herein are true and that all statements made on information and belief are believed to be true; and further that these statements were made with the knowledge that willful false statements and the like so made are punishable by fine or imposonment, or both, under Section 1901 of Title 18 of the United States Code and that such willful false statements may jeopardize the validity of the application or any trademark issuing herein, or any trademark to which this verified statement is directed.

THE BOYDS COLLECTION, LTD

Kelly S. Husherman, Customs Compilance

Officer,

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W(DODEN DECOYS	37.50		
mallard drake	12"	27.50		
mailard hen	12"	27.50		
n loon	14"	25.00		
s mailard	17 .	38.50		
s goose	17"	50.00	,	
s pintail	21"	50.00		
s pheisial	15"	42.50		
green wing teal drake	12"	30.00		
green wing test hen	12"	30.00		
redhead drake	14"	32.50		
c redhead hen	14"	32.50		
c pintail	16"	30.00		
c widgeon	14"	30.00		
c pullio-standing ex	8"	30.00		
r's green wing teal	12"	37.50		
r's mallard sleeper	12"	38.50		
er's redhead	16"	47.50		
er's wood duck	167	40.00		
er's ruddy duck e.e.	12"	37.50		
	9"	17.50		
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egat swan-preening ea	16"	27.50		
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nesota flata M loon-swima		15.00		
nesota flats™ loon-leede	8"	12.50		
ni-loon set-J pc.		15.00		
anda Boose-breener	15"	15.0		
nada goose-swimmer	22"	15.0		
nada goose-sentinel	17"	12.5		
ini-canada goose set-J pc.	8*			
allard-swimmer	22"	15.0		
allard-skeeper	15"	15.0		
allard-feeder	17"	15.0		
ini-mallard set-3 pc.	8"	12		
win-breenet	15"	15.		
Aste-saimmet	22*	15.		
wan-sentinel	17	15.		
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THE MUSEUM	SERIESTM - Antique Si	ryle Distress	ed Deco	79 - 64
muscum pintail La.	18*	55	.00	
muscum aullerd drake aa	16"		.00	
museum wood duck ee.	16"		.00	
museum bluebill	14"	50	0.00	
museum bulflehead	14"	50	0.00	
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	41)

	scription	Length	Price	Quantity	Total
	THE MASTER'S	S SERIES-Cust Min	usture Decoy	3	
100	ster's mallard drake	61/2"	12.50		ļ
	ister's look	8	15.00		
	aster's canada goose	81/2"	18.75		
	aster's whistling swan drake	9"	17.50		
	aster's whistling swan hen	9"	17.50		
	aster's whistling swan nen	5"	11.00		
	naster's green wing teal	5"	11.00		
	naster's pintail drake	8-	17.50		
	naster's r.b. merganser	71/2	18.75		
	naster's builflehead	11/2"	11.00		
	naster's mallard ben-swimmer	8	15.00		+
	master's mailard ben	61/2"	15.00	ļ	-
	master's redhead drake	41/2	11.00		
	master's ruddy duck	41/2	11.00	ļ	
	master's widgeon	61/1"	15.00		
	master's wood duck	7"	17.50		-
9018	master's cionamon teal	5"	11.00	<u> </u>	
9019	master's mallard sleeper	6"	12.50		
9020	master's redhead hen	41/1"	11.00	ļ	
9021	master's black swan	9"	17.50	1	
9022 ELK.1	flock I loae each all styles p			1	
FLK-1	mallard drake - 21 pcs)		299.50		
FLK-2	flock 2 (38 piece assortment) if ordered	***	1	1
	separately \$548.25 save \$48.	26! or 9%!	499.00		
DISP	DISPLAY CASE		50.00		_ 1
	JILL STRAI	USBAUCH CARVE	RS' CHOIC	<u> </u>	
7100	rabbit gabriel plaque	17.50		+	-
7101	bear gabriel plaque	17.50			
7102	love conquers all plaque	20.00			
7110	rabbit gabriel ornament	4,00			
7111	beat gabriel ornament	4.00			
7112	ted e. bear ornament	4.00			
7113	bear skater	4.00			
7114	father christmas ornament	4,00			
7115	santa with bag omament	4.00			
7116	angel bear ornament	4.00			
7117	santa bear ornament	4.00 .			
7120	tree santa	4.00			
7121	christmas goose	4.00			
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7123 7124	magic santa	4.00 15.00			
7123 7124 7125	magic santa wooden momma cat	4.00 15.00 15.00			
7123 7124 7125 7150	magic santa wooden momma cat wooden poppa cat	4.00 15.00 15.00 15.00			
7123 7124 7125 7150 7151	magic santa wooden momma cat wooden poppa cat wooden jpgel bear	4.00 15.00 15.00			

### WOODEN DECOYS 7012A classic mallard drake 12" 27.50 7013	Style #	Description	Length	Price	Quantity	Total
27.50			WOODEN DECOYS			
2015 Communa Ison	7012A	classic mallard drake	12"	27.50		
	7014A	classic mallard hen	12"	27.50		
2018	7015	common loon	14"	25.00		
100	7017	hunter's mallard	17"	38.50		
1022 hunter's pleasant 15" 42,50	7018	hunter's goose	17"	50.00		
2010 Classic green wing teal drake 12" 30.00	7020	hunter's pintail	21"	50.00		
7041A classic green wing teal hen 12" 30.00 7040A classic redhead drake 14" 32.50 7047A classic redhead hen 14" 32.50 7048A classic pintal 16" 30.00 7050A classic pintal 16" 30.00 7050A classic pintal 16" 30.00 7050A classic pulfin-standing a.	7022	hunter's pheasant	15"	42.50		
7046A classic tedhead drake	70·10A	classic green wing test drake	12"	30.00		
7047A classic tedhead hen	7041A	classic green wing teal hen	12"	30.00		
2018A classic pintal 16" 30.00 30.00 7059A classic widgeon 14" 30.00 7059A classic puffin-standing 8" 30.00 7059A classic puffin-standing 8" 30.00 7070A hunter's millard sleeper 12" 37.50 7070 hunter's millard sleeper 12" 38.50 7073 hunter's millard sleeper 12" 38.50 7073 hunter's middled 16" 47.50 7075 hunter's middled 12" 37.50 7075 festing swan 9" 17.50 7070 7070 harnegat swan-large 12" 20.00 7070 harnegat swan-large 12" 20.00 7070 harnegat swan-large 15" 15.00 7070 miniceosta flats hon preener 15" 15.00 7070 minicions set-3 pc. 8" 12.50 7071 canada georse-swimmer 22" 15.00 7070 minicions set-3 pc. 8" 12.50 7070 minicional georse-swimmer 22" 15.00 7070 minicional georse-swimmer 22" 15.00 7070 minicional georse-swimmer 22" 15.00 7070 millard-sieeper 15" 15.00 7070 millard-sieeper 15" 15.00 7070 millard-sieeper 15" 15.00 7070 millard-sieeper 15" 15.00 7070 millard-feeder 17" 15.00 7070 millard-sieeper 15" 15.00 7070	7046A	classic redhead drake	14"	32.50		
7050A classic widgeon 14" 30.00 7059A classic pullin-standing a. 8" 30.00 7060 hunter's green wing teal 12" 37.50 7070 hunter's millard sleeper 12" 38.50 10717 hunter's millard sleeper 12" 38.50 10717 hunter's millard sleeper 12" 37.50 7075 hunter's millard sleeper 12" 37.50 7076 hunter's millard sleeper 12" 37.50 7077 hunter's millard sleeper 12" 37.50 7078 hunter's millard sleeper 12" 37.50 7070 hunter's millard sleeper 12" 37.50 7071 hunter's millard sleeper 12" 37.50 7072 barnegat swan a. 9" 17.50 7073 teasing swan a. 12" 20.00 7074 barnegat swan-preening as 12" 20.00 7075 hunter's millarge a. 16" 27.50 7076 hunter's millarge a. 16" 27.50 7077 hunter's millarge a. 16" 27.50 70780 millarcsstal flate Millorn-swimmer 22" 15.00 70790 millard-swimmer 22" 15.00 70791 canada georse-swimmer 22" 15.00 70792 canada georse-swimmer 22" 15.00 70793 canada georse-swimmer 22" 15.00 70794 millard-swimmer 22" 15.00 70795 millard-swimmer 22" 15.00 70707 millard-swimmer 22" 15.00 70708 millard-swimmer 22" 15.00 70709 millard-swimmer 22" 15.00 70709 millard-swimmer 22" 15.00 70709 millard-swimmer 22" 15.00 70700 millard-swimmer 22" 15.00	7047A	classic redhead hen	14"	32.50		
7059A classic pullin-standing 8" 30.00	7048A	classic pintail	16"	30.00		
100	7050A	classic widgeon	14"	30.00		
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7203 resting swan				37.50		11/
7.301 barnegat swan 12" 20.00						
12 20.00			12"		~	
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THE MINNESOTA FLATS*** 7080 minnesota flats*** loan prener* 15" 15.00 7081 minnesota flats*** loan-winner* 22" 15.00 7082 minnesota flats*** loan-winner* 22" 15.00 7090 mini-loan set-3 pc. 8" 12.50 7091 canada goose-swimmer* 22" 15.00 7092 canada goose-swimmer* 22" 15.00 7093 canada goose-swimmer* 22" 15.00 7094 mini-canada goose-sentinel* 17" 15.00 7095 mallard-swimmer* 22" 15.00 7096 mallard-sleeper* 15" 15.00 7097 mallard-sleeper* 15" 15.00 7098 mini-mallard set-3 pc. 8" 12.50 7098 mini-mallard set-3 pc. 8" 12.50 7304 swan-prener* 15" 15.00 7305 swan-swimmer* 22" 15.00 7306 swan-swimmer* 22" 15.00 7307 ninis-wan set-3 pc. 8" 12.50 7308 swan-swimmer* 22" 15.00 7307 ninis-wan set-3 pc. 8" 12.50 7308 swan-swimmer 22" 15.00 7309 mini-swan set-3 pc. 8" 12.50 7300 string o'trou (3 pc) sa. 9"-13" 30.00 THE MUSEUM SERIES** Antique Style Distressed Decoys - sa. 8943 nuscum pintail sa. 18" 55.00 8944 muscum mallard drake sa. 16" 55.00 8945 muscum bufflehead 14" 50.00 8947 muscum bufflehead 14" 50.00						
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### THE MUSEUM SERIES** Antique Style Distressed Decays - a #### \$55.00 #### \$55.00 #### \$55.00 #################################					 	
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master's mallard drake	61/2"	12,50	
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master's whistling swan drake			
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	master's canada goose master's whistling swan drake master's whistling swan drake master's pintail gran hen master's pintail drake master's pintail drake master's bufflehead master's mallard hen-swimmer master's mallard hen-swimmer master's mallard hen-swimmer master's mallard hen-swimmer master's mallard hen master's cidy duck master's widgeon master's widgeon master's widgeon master's widgeon master's cinnamon teal spaster's mailard sleeper master's cinnamon teal spaster's mailard sleeper master's cinnamon teal spaster's finance and styles pl mallard drake 21 pcs) flock 1 (one each all styles pl mallard drake 21 pcs) flock 2 (J8 piece assortment) separately \$548.25 save \$48.2 DISPLAY CASE JILL STRAU rabbit gabriel plaque bear gabriel plaque bear gabriel ornament bear gabriel ornament bear gabriel ornament ted e. bear ornament bear skater father christmas ornament santa bear ornament tree santa christmas goose santas sleigh santas (ace antique santa magic santa wooden monma cat	master's canada goose 8½1 master's whistling swan drake 9" master's whistling swan hen 9" master's whistling swan hen 9" master's green wing teal 5" master's pintail drake 8" master's pintail drake 8" master's bufflehead 4½1" master's mallard ken-swimmer 8" master's mallard ken-swimmer 8" master's redkead drake 4½1" master's redkead drake 4½1" master's redkead drake 4½1" master's redkead drake 4½1" master's cinnamon teal 5" sparter's cinnamon teal 5" sparter's cinnamon teal 5" sparter's cinnamon teal 5" sparter's cinnamon teal 9" flock 1 (one each all styles plus one extra mallard drake 2! pes) flock 2 (38 piece assortment) if ordered separately \$548.25 save \$48.26! or 9%1! DISPLAY CASE JILL STRAUSBAUGH-CARVEI rabbit gabriel plaque 17.50 bear gabriel plaque 17.50 bear gabriel ornament 4.00 bear gabriel ornament 4.00 bear skater 4.00 father christmas ornament 4.00 santa bear ornament 4.00 santa bear ornament 4.00 santa bear ornament 4.00 santa steigh 4.00 santas sleigh 4.00 santas sleigh 4.00 magic santa 4.00 m	master's canada goose 8/f. 18.75 master's whistling swan drake 9" 17.50 master's whistling swan hen 9" 17.50 master's blue wing teal 5" 11.00 master's green wing teal 5" 11.00 master's pintail drake 8" 17.50 master's pintail drake 8" 17.50 master's pintail drake 8" 17.50 master's bufflehead 4½" 11.00 master's mallard ken-swimmer 8" 15.00 master's mallard ken-swimmer 8" 15.00 master's redlecad drake 4½" 11.00 master's redlecad drake 4½" 11.00 master's videgeon 6½" 15.00 master's sinnamon teal 5" 11.00 master's sinnamon teal 5" 11.00 master's black swan 9" 17.50 master's black swan 9" 17.50 master's black swan 9" 17.50 flock 2 (J8 piece assortment) if ordered separately

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THE BOYDS COLLECTION LID, BO BON 4385 GELTYSBURG PENNSYLYANIA 173.25 PHONE 717 559-7342 of 717-559-1450 TAX 547-359-3592.

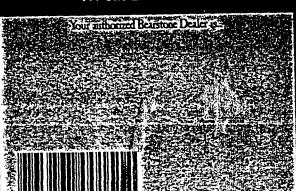
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IT'S YOUR LAST CHÂNCE!

On December 31, 1999, as the Big Apple The players in the Boyds B.S. 187 grade 2411 (D4)+ ariel & clarence drops on Times Square, The Head Bean chool's Holiday Pageam are about to as the pair o'angels (*sct of 2) will smash all the molds for this ake their Final Curtain Call! series of Bearstone Figurines. This Pageant Series made its debut Don't spend the next Millennium n 1995, with four new pieces added searching for the pieces you missed! each subsequent year. It's time for a new Pageant Production (see page 2). so this series is about to Retire. 2414 (E4)+ ms, bruin.. as the teacher screndipity has the geardian angel 2402 (F4)+ 2406 (J41+ raleigh... as mary as melchior malthea 2410 (D4)+ bruce...as the shepherd 2403 (F4)+ as the child 2409 (D4)+ 2407 (J4)+ winkle & dink thatcher & eden... +(::0: 301·S as the lambs as the camel 2412 (E4)+ eosex... caledonia. as the donkey as the narrator

BOYDS BEARS & FRIENDS

... The Bearstone Collection

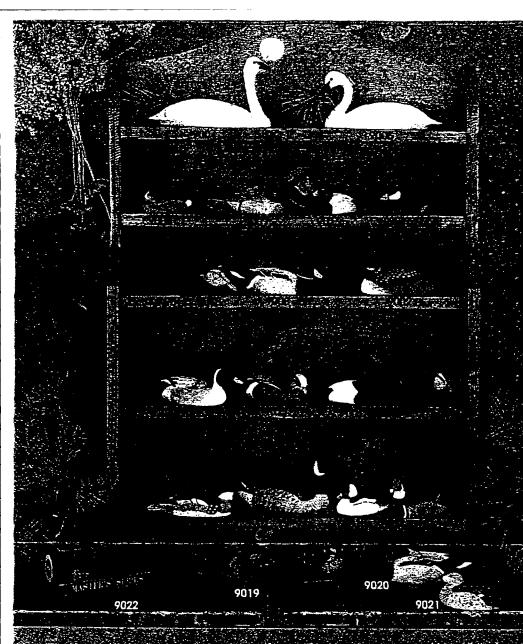


") Francis Jack ... you can Trust";

week calginal vers a retamped on the bottom with the name, it we manber one of copyright states each sculpture is mindened with the edition and personant because with the edition and personant because with the edition and personal because where on the piece. Always lead for our Paxpoint as your Cymbol of Authenicity...

A PER GYDNOGGER HONOTH CHER I SBURG, PILOS SUNANIA DES EST All Sousce, enclimb





me moster's series...

Introducing a full line of decarative minipitale waterfowl, incredibly detailed and ceautifully painted Starting from any introdely carved and wade burged master piece a mola is formed which recreates with incredible clating every derdior the wade original frem using Duckstone. ", aurown unique bonded resin formulated especially for decay desting, a replica is east from the major. Inis reproduction is then handed to a master arisan for detailed hand a painting, upon completion the decay is signed by the painter.

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The Boyds Collection Ltd.

began in 1979 as a small antique shop in rural Maryland. As we hunted the country back roads for affordable antiques, we realized that others must be looking for the same quality, collectibility, and affordability_and set out to design, produce and market our own beautiful collectible products.

Over the past twenty-one years we've grown, evolved, & progressed_but we still strive to offer a combination of Aesthetics, Craftsmanship, and "Whimsy" that represent a True Value to today's Collector.

From the very first duck decoy that we handpainted in our Maryland shop...through our introduction of a merino wool bear in 1984_to the Bearstone Collection_to the wide range of products we continue to create - We appreciate you, our Collectors and Friends.

So "Thank You" - from The Head Bean and the Folks at Boyds!

The Boyds Collection Ltd.® Gettysburg, Pennsylvania 17325-4385

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Your Boyds Bear Dealer is_

"Bears & Hares...You can Trust"™ www.BoydsCollectibles.com

The Loyal Order of Friends of Boyds (or F.o.B. for short!) "Tea for Three"...The Year 2000 Boyds Collectors' Club

The Brewin' F.o.B. Kit. Join Caitlin Berriweather, the member-exclusive 6" gold Plush Bear who is always ready to listen to a Great Story...or share a few Tales of her own! Caitlin is always propahly Dressed for the Occasion in her Hat and Chenille Sweater...and has a special foot pad F.o.B. label.

The Brewin' Eo.B. Kit will also include our Resin Masterpiece "Catherine and Caitlin Berriweather_Fine Cup of Tea". You can almost hear the tea pourin' amongst the Chatter (and Boyds bears aren't known for daintily doing anything!)

4 #02000-11.

Club Members will also receive The Brewin' Eo.B. Bearwear Pin - portraying Caitlin Bertiweather enjoying her beverage of choice. Club pins are a great way to

proudly show off your love of Boyds...unless you'd rather keep it a Secret. (Can't blame you there!)

A Fine Cup of Tea"

There's a place set just for you at our Tea Party. والمستريب والمارات

Also...you have the opportunity to complete your "Tea for Three" party with our wonderful Redemption Pieces that you can order from your favorite Boyds Retailer:

Catherine Berriweather, an 11" plush bear all fancied up to join her daughter Caitlin for a quiet afternoon of Story Telling and Tea Tasting. Catherine also has a Special Edition foot pad label commemorating the year 2000. Little Scruff, a 3" plush bear is the last bear to join the Party, a little tattered from years of love but still anxious to join her closest

Catherine and Caitlin Berriweather with Little Scruff_Family Traditions" is fully detailed for a complete setting for three ... even a few little

Crumpets for them to munch on as their Memories Unfold.

Our Bearstone Resin Masterpiece

Berriweather and Little Scruff", Plush Redemption Pieces ▲ #02000-41, "Catherine and Caitlin Berriweather with Little Scruff...Family Traditions", our Resin

Ask your Boyds Dealer

how you too can become

a "Brewin' F.o.B"

(and the only brew we're

referring to is for Sippin'...

not for chuggin!)

Redemotion Piece

4 #02000-51, "Catherine

plete without a Tea Set...or a Mini Tea-Set in this case. Members Only will have the opportunity to purchase the Official Brewin' Eo.B Mini Tea Set...for

course!

three of

There's more! No Tea Party would be com-

#02000-65, the "Brewin' F.o.B." Official Mini-Tex Set

One more thing_available only to "Brewin' Fio.Bs" through our Bearstone Dealers_Noah's Tool Chest...in exclusive Members' piece in our Pageant Series "Noah & Co. - Ark Builders". Watch for it!!!

The Boyds Collection Ltd.

began in 1979 as a small antique shop in rural Maryland. As we hunted the country back roads for affordable antiques, we realized that others must be looking for the same quality, collectibility, and affordability, and set out to design, produce and market our own beautiful collectible products.

Over the past twenty-one years we've grown, evolved, & progressed but we still strive to offer a combination of Aesthetics, Craftsmanship, and "Whimsy" that represent a True Value to today's Collector.

From the very first duck decoy that we hand-painted in our Maryland shop...through our introduction of a merino wool bear in 1984...to the Bearstone Collection...to the wide range of products we continue to create - We appreciate you, our Collectors and Friends.

So "Thank You" - from The Head Bean and the Folks at Boyds!

Your Boyds Bear Dealer is_



"Bears & Hares...You can Trust"™

www.BoydsCollectibles.com

Sinclair Bearsford, see page 46
On front cover: Eleanore Bearsevelt, see page 22

The BOYDS COLLECTION

The Boyds Collection Ltd.

Gettysburg, Pennsylvania 17325-4385

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en Santa's running ow on baubles and beads, he calls on Bearstones...

earstone ornaments: Angelbrite, nowbearski and Hansel, see page 12

In front cover: Father Kristmas, see page 4

Your Boyds Bear Dealer is...

KENDICE

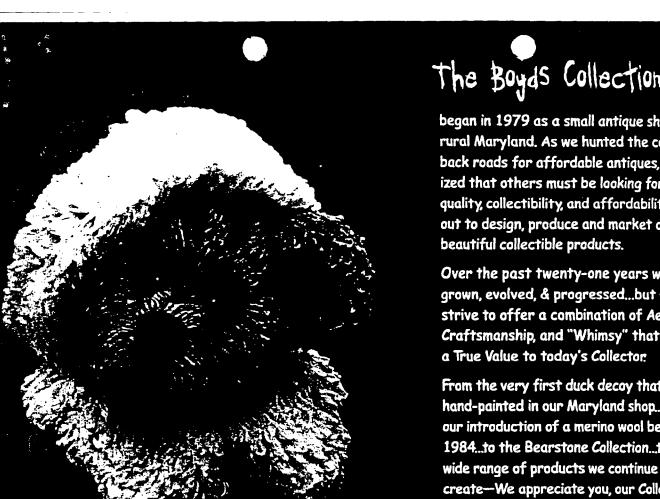


"Bears & Hares... You can Trust""

The Boyds Collection, Ltd.® Gettysburg, Pennsylvania 17325-4385

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BoydsStuff = com



The Boyds Collection Ltd.

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Over the past twenty-one years we've grown, evolved, & progressed...but we still strive to offer a combination of Aesthetics, Craftsmanship, and "Whimsy" that represent

From the very first duck decay that we hand-painted in our Maryland shop...through our introduction of a merino wool bear in 1984...to the Bearstone Collection...to the wide range of products we continue to create—We appreciate you, our Collectors and Friends.

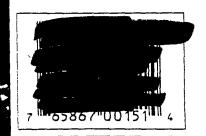
So "Thank You"—from The Head Bean and the Folks at Boyds!



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Your Boyds Bear Dealer is...



a Hares...You can Trust" BoydsStuff=com=

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On the date stamped hereon, the Assistant Commissioner for Trademarks acknowledges receiving a 2-page Notice of Reliance with Exhibits A-L.

In re: Cancellation No.: 32,146

Boyds Collection v. Herrington & Company

Atty Dkt: 00107/00805

The aforementioned mailed via Express mail on Monday, April 22, 2002 on Label No.: ET829639366US.



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CERTIFICATE OF SERVICE

I hereby certify that on September 10, 2002, I served a copy of the foregoing REGISTRANT'S MOTION TO STRIKE AND OBJECTIONS TO PETITIONER'S NOTICE OF RELIANCE AND EVIDENCE DECLARATION OF KELLY AUSHERMAN upon petitioner Boyds Collection, Ltd.'s counsel of record, Michael J. Cherskov, Esq., by mailing a true and correct copy thereof by postage prepaid First Class United States Mail to the following address:

Michael J. Cherskov CHERSKOV & FLAYNIK The Civic Opera Building, Suite 1447 20 N. Wacker Drive Chicago, IL 60606

DATED: September 10, 2002

Name: Sadie Lum

Express Mail mailing label No. <u>EL 952565413 US</u>
Date of Deposit September 10, 2002 I hereby certify that this paper or fee is being deposited with the United States Postal Service "Express Mail Post Office to Addressee" service under 37 CFR 1.10 on the date indicated above and is addressed to: Commissioner for Trademark, 2900 Crystal Dr., Arlington, VA 22202-3513.
Sadie Lum
(Type or Print Name of Person Mailing Paper or Fee)
Sadie Lum
(Signature of Person Mailing Paper or Fee)

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September 10, 2002

BY U.S. EXPRESS MAIL

COUNSEL

WORLDWIDE

U.S. Patent & TMOfc/TM Mail Rcpt. Dt. #57

United States Patent and Trademark Office Trademark Trial and Appeal Board 2900 Crystal Drive Arlington, Virginia 22202-3513 Attention: Legal Assistant, TTAB

Re: Cancellation No.: 32,146

Mark: TBC HERRINGTON'S TEDDY BEAR CLUB & Design

Registration No.: 2,372,585

Registration Date: August 1, 2000

Registrant: Herrington & Company, Inc.

Our Ref.: 40362.6

Dear Sir or Madam:

Enclosed herewith is Registrant's Motion to Strike and Objections to Petitioner's Notice of Reliance and Evidence Declaration of Kelly Ausherman for the above referenced matter. So that we may have a timely record of receipt of the enclosed, please date-stamp the enclosed, stamped, self-addressed post card, and deposit it into the U.S. mail.

Please direct all correspondence regarding this matter to my attention.

Very truly yours,

Elizabeth Moreno McArthur

Attorney at Law

EMM/sl

Enclosure

Copy: P. Craig Cardon